# STABILITY IN KEY AREAS (SIKA) – WEST

## BASELINE SURVEY FINAL REPORT

**Contract Number: AID-306-C-12-00004**

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## BASELINE SURVEY FINAL REPORT

**Submitted to:**

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**Prepared by:**

AECOM International Development

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# ACRONYMS

| | |
|---|---|
| AECOM | Architecture Engineering Construction Operation Management |
| CDC | Community Development Councils |
| DQC | Data Quality Control |
| GIRoA | Government of the Islamic Republic of Afghanistan |
| IDLG | Independent Directorate of Local Governance |
| IR | Intermediate Result |
| M&E | Monitoring and Evaluation |
| MISTI | Measuring Impacts of Stabilization Intervention |
| MRRD | Ministry of Rural Rehabilitation and Development |
| PMP | Performance Monitoring Plan |
| SIKA | Stability in Key Areas |
| USAID | United States Agency for International Development |

# INTRODUCTION

The United States Agency for International Development (USAID) awarded AECOM International Development the Stability in Key Areas (SIKA) – West program on January 29, 2012[1]. SIKA-West is intended to increase stability and pave the way to transition in the western provinces of Herat, Farah, Badghis and Ghor. This program is administered through the Ministry of Rural Rehabilitation and Development (MRRD) in cooperation with the Independent Directorate of Local Government (IDLG) working in partnership with USAID and AECOM.

The primary objective of the SIKA-West program is to promote good governance and service delivery in targeted districts with the intended effects of promoting stability and, through capacity building with MRRD in the areas of intervention, increased government effectiveness. To assess SIKA-West's impact on this, it is important not only to track output performance indicators (how many projects completed, people trained, etc.), but also those addressing public opinion and attitudes of citizens who reside in unstable Districts in western Afghanistan.

In April and May 2013, in fulfillment of ADS 200.6, SIKA-West implemented a baseline survey, meant to measure the perceptions of Afghans towards the Government of the Islamic Republic of Afghanistan (GIRoA) and overall situation before any SIKA-West funded projects were implemented in their area. A final survey should then measure people's perceptions (using the same or comparable questions) in the same areas to see if those perceptions have changed. While it is likely that not all areas to be surveyed will receive assistance under SIKA-West, it is possible that a significant majority of them will receive assistance based on the methodology employed. It is thus important that the baseline was conducted before any projects were completed; at the time of the baseline SIKA-West staff had worked with local government officials for several months, but constituents (who are the ones being surveyed) were still largely unaware of the program's activities.

This report details the design and data collection methodology used in the baseline survey, also summarizing the results of 2,819 interviews in 208 villages and offering recommendations for the future.

# METHODOLOGY

## QUESTIONNAIRE

The survey questionnaire was designed to obtain data on PMP impact and outcome indicators that cannot be collected through regular M&E activities. The English version of the questionnaire was developed first, followed by Dari and Pashtu versions that were checked by multiple departments to ensure the most accurate translation possible. The questionnaire, which received minor revisions after the pilot survey[2], represents a best effort to address PMP indicators (see Table A) and gauge general public perception of government in target areas.

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[1] On January 22nd, 2013 SIKA-West received USAID approval to extend the initial contract period through to February 28th, 2014.
[2] See *Pilot Survey* section below.

**Table A - PMP indicators addressed in baseline survey**

| # | STAB-U Indicator | F-Indicator | Indicator | Corresponding #s on Baseline Survey Questionnaire[3] |
|---|---|---|---|---|
| **SIKA West Strategic Objective: Afghans have increased confidence in their District level government, leading to the expansion of GIRoA provincial authority and legitimacy** |
| **Program Objective: To assist GIRoA officials at the district and provincial levels to respond to the population's development and governance concerns to better instill confidence and build stability.** |
| 2 | | | Percent increase in the number of district residents who report increased confidence in their district level government | 2, 3 |
| 3 | | | Percent increase in number of district residents who report increased confidence in their district council | 11 |
| 4 | 7a | | Percent increase of district residents reporting their district has become more stable | 15 |
| 5.A | | | Number of SIKA districts demonstrating improvement on the stability trend. Condition A: The Afghan people feel safe enough to go about their daily lives. | 16 |
| 5.B | | | Number of SIKA districts demonstrating improvement on the stability trend. Condition B: The Afghan people are able to plan for their future. | 19, 20 |
| 5.C | | | Number of SIKA districts demonstrating improvement on the stability trend. Condition C: The Government (provincial and district level) is accountable, responsible and functional. | 6, 7, 8, 9, 10, 11 |
| 5.D | | | Number of SIKA districts demonstrating improvement on the stability trend. Condition D: ANSF has control of force and is able to enforce security. | 17, 18 |
| 5.E | | | Number of SIKA districts demonstrating on improvement on the stability trend. Condition E: Rule of Law and civil court systems are recognized by the population and perceived as functioning. | 21, 22 |
| **IR1:** Provincial and district entities increasingly address sources of instability and take measures to respond to the population's development and governance concerns |
| **IR2: Provincial and District Entities understand what organizations and provincial line departments work within their geographic areas, what kind of services they provide, and how the population can access those services** |
| 2.4 | | 1.6.1-13 | Number of people who received information provided by District Entities about services listed in the SPC via visits, radio, TV, e-mail, and letter | 12 |
| **IR3: Provincial authorities improve their ability to communicate with district entities in order to help them better understand their population's needs and prioritize basic service delivery interventions.** |
| 3.2 | 7.2a | | Percent increase in the district residents reporting that District Entities listen to their grievances | 11 |
| **IR4: Provincial authorities are able to improve basic service delivery by using GIRoA, CDCs, DDAs and ASOP DCCs, which gain capacity to plan, design, implement and monitor projects, with a focus on labor-intensive projects or productive infrastructure.** |
| 4.2 | 7.2.2a | | Percentage of population in targeted districts reporting increased satisfaction with GIRoA basic services. | 13 |
| 4.3 | | | Percent increase of district residents reporting basic services in target districts are delivered in a fair and transparent manner. | 14 |

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[3] The final questionnaire can be found in Annex I

Note that not every question on the survey instrument directly relates to a PMP indicator. Those that do not are designed to paint a more general picture and will also be useful as a basis for follow-up key informant interview, focus groups, etc. Questions were ordered strategically to allow for a natural flow of the interview. The instrument was also designed in such a way that it would minimize the time surveyors needed (estimated 15-20 minutes per questionnaire) to be on the ground in often insecure areas.

## PILOT SURVEY

Pretesting and revising an instrument are fundamental to the design process.[4] No new survey instrument would be complete without field testing the questions and the flow of the interview. Thus a pilot survey was conducted by the implementing partner on April 11, 2013 in the Kushk Syairwan village of Pashtun Zarghun district in Herat province. This village was selected for the pilot due to its proximity to Herat and its characteristics that were broadly representative of the entire sample (peri-urban, dynamic security situation, several sources of instability, etc.). 20 face-to-face interviews were conducted (10 men & 10 women), after which several revisions were made to the questionnaire.

### Revisions to the Survey Instrument

Based on the results of the pilot survey, several changes were made to the questionnaire:
1) For simplicity in administration of the survey, the 'men' and 'women' questionnaires were combined into a single unified document. Surveyors were instructed not to ask the final three questions to men.
2) Two questions (Q12 & Q13 on the original questionnaire) were removed from the final questionnaire. Both asked the same question ("do you feel that government officials listen to your grievances?"), one targeted at the district level and the other targeted at the provincial level. During the pilot these questions caused confusion because of their similarity to questions Q10 & Q11 regarding accountability. Ultimately, responsiveness was deemed to be an element of accountability and the two questions were removed to avoid similar confusion in the future.
3) For Q21, the options were changed from single answer only to include the possibility of multiple answers. Oftentimes, depending on the nature and severity of disputes, several different groups may be approached for a resolution. For example, pilot survey interviewees stated that almost every dispute resolution process starts with 'local/tribal leaders'; depending on the details of the dispute and how effectively the local resolution mechanism solved the issue, the dispute could also be taken to higher levels (i.e. the government, anti-government elements, etc.), thus necessitating the option for multiple answer selection.

## SAMPLE

### District & Village Selection

The baseline survey was designed to be in 7 districts across 3 provinces in Western Afghanistan. The 7 districts represented the main districts of intervention for SIKA-West at the time of the baseline[5].

Two different data sources were used to determine the total population of potential villages in these 7 districts. The first is village data garnered from USAID Measuring Impacts of Stabilization Intervention (MISTI), a third-party M&E program designed, among other things, to measure and map stabilization trends and impacts.

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[4] Pg. 94. "Data Quality Control: Theory and Pragmatics", Edited by Gunar Liepens, V. R. R. Uppuluri. 1990.
[5] At the time of report writing, SIKA-West had also made entrance into Ghor province. A baseline survey of this area is being planned using the same questionnaire and general methodology.

The second source of village data came from the SIKA-West "Master Tracker", the main tool through which program leadership tracks pipeline projects. At the time of the baseline, a total of 193 villages were listed on the "Master Tracker" as potential project areas[6]. Although most of these villages were also listed on the MISTI village list, 18 of them were not. These 18 (spread between Shindand, Kushk Rabat-e Sangi and Pashtun Zarghun districts) were added to the MISTI list to create a new list of 1,685 villages. Thus, the total population in the 7 districts was 1,685.

Of these 1,685 villages, 210 were to be selected for the baseline survey. A goal of 3,000 questionnaires was set at the beginning of the design process by the SIKA-West M&E Manager. Assuming each village would receive 15 interviews (with a goal of half of the interviewees being women), 200 villages would be needed to produce 3,000 questionnaires. The list of villages was increased to 210 given the unpredictable security environment, potentially inaccessible locations and possibly unusable questionnaires that are inherent with administering such a large number of surveys in so many villages in Afghanistan. Thus, if some of the 3,150 questionnaires were not able to be used, the target of 3,000 questionnaires should still be achieved.

As mentioned, 193 of the 210 villages were listed on the "Master Tracker" as potential project areas and were thus automatically added to the survey list[7]. These 193 were spread out amongst 6 districts; at the
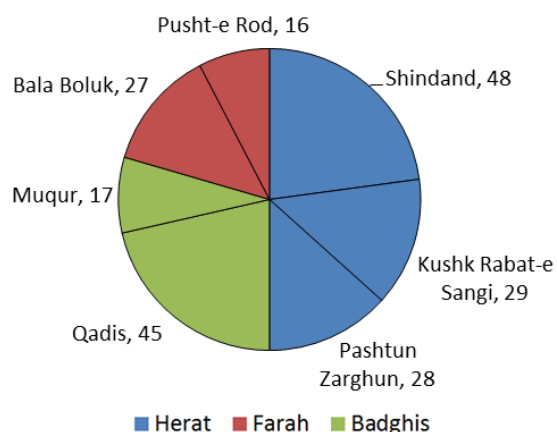


**Figure 1 – 210 villages to be surveyed**

time of the baseline no potential project areas had been defined in the Muqur district of Badghis province. Therefore, the remaining 17 villages were selected randomly[8] from Muqur using a stratified cluster approach that produced a viable population of 43 villages within 20km of the Muqur district center. This was done to ensure that unrealistic logistical and security demands were not put on the implementing partner. A radius of 20km from the district center not only included a majority of villages in Muqur, but also presents the most likely geographic area for most of the eventual SIKA-West projects in Muqur based on the proximity of villages in other districts to the district center.

The final list of 210 villages selected for the baseline can be found in Annex II[9].

## Household & Respondent Selection

According to the design, 15 interviews were to be conducted in each of the 210 selected villages, one interview per household. Households were selected using a random procedure whereby every third house starting with the right hand side of the center of the village would receive a visit from the surveyor. Although each village is laid out differently, this method ensured that a similar pattern was used to select target households in each village. Once selected, one male or female was randomly selected for an interview using the Kish Grid method. Surveyors were given a goal of approximately 50% women and

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[6] As discussed in the *Introduction*, projects had not started at the time of the baseline but initial meetings with community and government leaders had produced a list of potential interventions.
[7] See *Design Limitations* section below for more detail on why randomization was not used to produce the sample
[8] Randomization achieved using http://www.randomizer.org/form.htm.
[9] The village list in Annex II represents the final revised list of villages. 10 villages were substituted at the beginning of the survey for reasons explained in the *Substitution* section below.

50% men respondents over their entire interview sample i.e. some villages would result in 8 women and 7 men while others would result in 7 women and 8 men.

## DATA COLLECTION

Data collection for the baseline survey was outsourced to a third-party contractor. After a full and open bidding process, Risalat Consultants International was selected as the implementing partner. Risalat implemented data collection with a team of 25 surveyors (15 men & 10 women), 3 provincial supervisors and 1 project manager. Surveyors were selected from among the local population to facilitate ease of movement within villages in their area of responsibility; even if they had no survey administration experience their ability to access areas that outsiders cannot access was deemed paramount. All surveyors hired by Risalat were at least at the high school graduate level with some work experience.

Training for surveyors and supervisors on the survey instrument, interview techniques and household/respondent selection was held in Herat on April 7, 2013. Although not all surveyors were able to travel to Herat for the training, all supervisors and at least one representatives from each district did attend and then, in turn, provided training for their colleagues in the districts.

Questionnaires were filled out by hand by surveyors in the language of the interview (Dari or Pashtu). The hard copy questionnaire forms were then sent to the project manager in Herat for entry into a SIKA-West designed database.[10]

Originally Risalat developed an implementation plan for the survey, planning out each village visit in advance. During the first week of the survey, however, the dynamic security situation on the ground and difficulties communicating with the field necessitated a modification to this system. By the end of the first week, the program manager was communicating daily with SIKA-West staff to report which villages were planned for the following day. Additionally, Risalat provincial supervisors periodically accompanied surveyors on data collection exercises and also did after-the-fact 'spot checks' with some villages to make sure surveyors had been there as planned.

## DESIGN LIMITATIONS

### Selection Bias

Had the baseline survey been conducted at the very beginning of the project, villages would have been selected using a completely randomized methodology. SIKA-West has been active for several months in 6 out of the 7 districts of the baseline survey (outreach to the Muqur district of Badghis province had just begun at the time of design). Activities to date primarily dealt with sensitizing government officials and other local leaders, planning future interventions, etc. However, many project ideas and locations had been discussed and a group of likely intervention areas produced. In the 6 districts (not including Muqur), a total of 193 likely intervention areas were thus incorporated into the baseline survey.

A completely randomized methodology might produce stronger overall district-level results, but since likely intervention areas were known the decision was made to gauge public opinion in those areas. Since the sample was not selected randomly, it cannot be said that the results of the survey are representative of the entire district or province. However, by administering the survey in those areas both at the start and end of the project, a better understanding of the specific impact of SIKA-West will be achieved.

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[10] A database was created by SIKA-West specifically for the baseline survey using free software available at: http://www.limesurvey.org

## Substitution

At the district level, none of the selected districts required replacement. At the village level, 10 were substituted at the start for reasons including security concerns and incorrect village name data[11]. The originally selected villages were randomly substituted with villages from within the same districts.

**Table B – Substitution randomization summary**

| Province | District | Radius (in km) | Sample Size[12] | # of villages to be substituted |
|----------|----------|----------------|-----------------|----------------------------------|
| **Badghis** | Muqur | 20 | 26 | 2 |
| | Qadis | 40 | 224 | 3 |
| **Herat** | Kushk Rabat-e Sangi | 25 | 144 | 5 |

Substitution randomization[13] was achieved using a stratified cluster approach. As with the initial selection of the 17 villages in Muqur[14], this method was used to ensure that unrealistic logistical and security demands were not put on the implementing partner. The radiuses (shown in Table B) create circular boundaries around the district center that represent geographic areas similar to the others already in the sample and, thus, those areas that are most likely to be affected by SIKA-West program implementation.

**Table C – Reasons for village substitution**

| Province | District | Village | Issue | Substitute Village (#) |
|----------|----------|---------|-------|------------------------|
| **Herat** | Kushk Rabat-e Sangi | Chahel Dukharan Mullator | Insecure; Unlikely to be program area | (56) Chashma Haji Qourban |
| **Herat** | Kushk Rabat-e Sangi | Chahel Dukhtaran Haji Shair Khan | Insecure; Unlikely to be program area | (57) Do Ab Payen |
| **Herat** | Kushk Rabat-e Sangi | Chahel Dukhtaran Mir Hamza | Insecure; Unlikely to be program area | (58) Haqaba Mir |
| **Herat** | Kushk Rabat-e Sangi | Chahel Dukhtaran Wakil Hassan | Insecure; Unlikely to be program area | (59) Markaz Wolluswaly |
| **Herat** | Kushk Rabat-e Sangi | Khosh Asieab | Insecure; Unlikely to be program area | (70) Qeshlaq Afghanan |
| **Badghis** | Qadis | Jagha Boland | Insecure; Unlikely to be program area | (160) Jara |
| **Badghis** | Qadis | Kabulcha Awal | Insecure; Unlikely to be program area | (162) Qarchaqe Ya Zad Paiwand |
| **Badghis** | Qadis | Yakakhana | Not in Qadis district; data error | (190) Markaz Taht Qadis |
| **Badghis** | Muqur | Muqur-I-Mohammad Omar Khan | Insecure; Unlikely to be program area | (205) Taraki Hulya |
| **Badghis** | Muqur | Timurian | Insecure; Unlikely to be program area | (208) Noor Khail Abdul Wahab |

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[11] Security concerns were passed on immediately to SIKA-West program team. If it is not safe enough to implement a survey in a particular area, will SIKA-West be able to implement a project there?

[12] Sample size here is defined as the total number of villages within the designated radius minus those villages already selected or disqualified.

[13] Randomization achieved using http://www.randomizer.org/form.htm.

[14] See *Selection Bias* section above.

Since these 10 villages (see Table C) were not on the initial list of potential program implementation areas, they create a 'control' group of sorts that are characteristically similar to the 'treatment' villages i.e. those places where intervention is likely. Although this 'control' vs. 'treatment' technique is primarily useful if the entire trial was randomized, nonetheless it will be interesting to re-survey these specific villages in the final impact survey to see if there is a discernible (and/or statistically significant) difference between these and the other areas that received intervention.

## DATA QUALITY CONTROL

### Methodology & Design

In accordance with generally accepted standard practice, the M&E Manager set an original goal of 10% of villages surveyed to be monitored, making sure that at least one village in each district (and each surveyor) received at least one data quality control (DQC) visit. The monitor would be present for ideally 10 of the 15 interviews in any given village with a goal of monitoring all 15 per village.



A separate form[15] specific to the DQC was created for the M&E staff members (primarily the district-level M&E Assistants) tasked with administering the DQC in coordination with the survey implementing partner. Scanned copies of these forms were sent by the field M&E staff members to the M&E department in Herat where they were reviewed and analyzed daily. Any issues were then immediately communicated to the project manager, who in turn informed his supervisors and surveyors in the field. This quick feedback loop was crucial to ensuring increasingly better quality implementation of the survey[16].

Initially, the villages to be monitored within each district were selected randomly[17], making sure that each district received a proportional (10% or more) number of monitoring visits based on their presence in the survey sample (see Table D). The implementing partner was not informed which villages were on the DQC list until they informed SIKA-West each afternoon which villages were to be surveyed the following day. If the villages to be surveyed the following day were on the DQC list, the implementing partner and district-level M&E staff members were both informed to coordinate activities.

### Design Revisions

In the first week of the survey it became evident that there were communication issues between surveyors, the survey project manager, SIKA-West field and Herat headquarters M&E staff members.

> *Example DQC Issues:*
> - Multiple respondents collected; interviewed separately but with others in the room.
> - Asking questions out of intended order.
> - Inadequate follow-up clarification of questions when asked by interviewee.
> - Not fully reading the explanation to the interviewee before beginning survey administration.

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[15] The DQC form used by M&E field staff members can be found in Annex III.
[16] Whereas at the beginning there were several issues per day reported to the implementing partner, by the end of the baseline survey DQC forms were showing little to no issues.
[17] Randomization achieved using http://www.randomizer.org/form.htm.

Additionally, the DQC forms that were arriving daily from the field M&E Assistants showed that some improvement in implementation was required (see insert for examples of implementation issues arising from the DQC).

Given these concerns, particularly the poor initial communication at the field level and the possibility that multiple DQC villages could be surveyed at the same time in different locations, the decision was made to increase the number of DQC villages from 23 to 44. Ultimately, only one of the issues uncovered by the DQC necessitated the removal of 5 questionnaires from the survey[18]; the others were deemed to be minor enough that, while they should be corrected for future interviews, they did not jeopardize the integrity of the existing data.

Security concerns and inaccessibility to 5 villages in Shindand district and 5 villages in Bala Boluk district necessitated surveyors to conduct interviews in regional market locations rather than in their home villages[19]. Because of additional data quality concerns surrounding the practice of interviewing of people outside their home village, these 10 villages were added to the list of villages to receive DQC.

The final revised number of DQC villages[20] was thus 54. All but the 10 villages whose members were planned to be surveyed in the regional market were randomly selected to be monitored.

## Results

**Table D – Data quality control**

| Province | District | Total Sample | Planned | | Achieved | |
|---|---|---|---|---|---|---|
| | | | Initial DQC | Revised DQC | DQC Villages | # DQC Forms |
| **Herat** | Shindand | 48 | 5 | 14 | 9 | 85 |
| | Kushk Rabat-e Sangi | 29 | 3 | 6 | 2 | 9 |
| | Pashtun Zarghun | 28 | 3 | 6 | 6 | 51 |
| **Badghis** | Qadis | 45 | 5 | 10 | 9 | 137 |
| | Muqur | 17 | 2 | 4 | 2 | 13 |
| **Farah** | Bala Boluk | 27 | 3 | 10 | 7 | 70 |
| | Pusht-e Rod | 16 | 2 | 4 | 2 | 22 |
| | **Total** | **210** | **23** | **54** | **37** | **387** |

Although the modified daily planning system arguably decreased the number of missed DQC visits, 17 of the 54 villages selected for DQC that were ultimately not monitored. 12 of the planned DQC visits did not happen because the villages were surveyed at the same time by two different surveyors while there was only one M&E Assistant available for the DQC. This is not surprising as SIKA-West has 1 M&E Assistant per district while the survey implementing partner had, for example, 6 surveyors in Shindand and 4 surveyors in Kushk Rabat-e Sangi districts operating at the same time.

An additional 5 of the planned DQC visits were canceled due to security concerns, 1 of which (Myan Koo in Bala Boluk district)
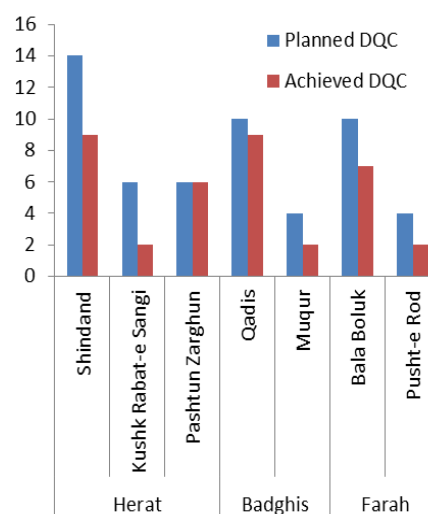


**Figure 2 – DQC Planned vs. Achieved**

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[18] See *Data Collection Issues* section below for more detail.
[19] See *Data Collection Issues* section below for more detail.
[20] Full list of DQC villages can be found in Annex IV.

was not surveyed at all[21]. In the other 4 cases, the survey was conducted but the participation of the M&E Assistant, known to locals as being affiliated with a U.S. Government-funded project, was deemed unsafe at the time; it would draw attention from known anti-government elements in the area.

Ultimately, 37 DQC visits were achieved in all 7 districts (each district received at least 2 DQC visits), representing 18% of the entire sample of 210 villages. 387 total interviews were monitored, representing 13.7% of the total number of interviews conducted (2,819). Both at the individual interview and village levels the initial target of 10% was exceeded.

Given its DQC activities, SIKA-West is confident in the quality and accuracy of the data in the entire survey.

# RESULTS

## SUMMARY

Representatives of 208 out of the sample 210 villages (99%) in all seven target districts were interviewed, producing a total result of 2,819 questionnaires. This represents 93.9% of the initial goal of 3,000 interviews.

### *Highlights*

- Infrastructure projects and general activity in a community were most likely to inspire confidence in local government;
- Although CDCs inspired more confidence in respondents than district-level government, it is unclear (after asking for examples of why the groups did or did not inspire confidence) that the functional difference between the two entities is broadly understood;
- The government's primary roles, according to respondents, should be to be provide security, economic and agriculture support, and other services to generally help the people;
- A small majority of respondents (59%) perceive the government to be functional and effective;
- Many respondents (almost half) were unhappy with the services they have received from the government, with a large number of them (again, almost half) reporting that services are not administered in a fair and transparent manner;
- Perceptions of safety and stability were closely correlated;
- Most respondents reported using local/tribal and/or government dispute resolution mechanisms, though a sizeable group still approach the Taliban and other anti-government elements for this service;
- 63% of women reported not having freedom to voice opinions and concerns in their community.

## DATA

2,819 acceptable interviews were conducted over a 24 day period (April 11 – May 4, 2013). Overall 794 women and 2,025 men were interviewed. Male respondents were interviewed only by male interviewers; female respondents only by female interviewers. Efforts were made to ensure that female respondents were interviewed outside the presence of male members of the household.

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[21] See *Data Collection Issues* section below for more detail.

## Data Collection Issues

### *Security*

Security in the target areas remained volatile throughout the duration of the survey. Nonetheless, the surveyors were able to access (or interview members of villages on regional market days) all but one village: Myan Koo in the Bala Boluk district of Farah province. Surveyors attempted to access Myan Koo at multiple times during the survey and were unable to do so by the end of the survey period.

Although GPS data was gathered from a majority of villages surveyed, some surveyors in some particularly unstable areas were not comfortable traveling with a GPS unit lest they be questioned and/or searched by anti-government elements.

### *Data error*

Originally, 'Chen Farsee', 'Chen Afghani' and 'Chen' were shown as separate villages on the list of 210 to be surveyed. When surveyors arrived in the Chen Farsee and Chen Afghani villages in the Pusht-e Rod district of Farah province, they realized that both villages together were referred to as 'Chen' although there was no separate village named 'Chen'. Since it does not exist, 'Chen' was thus not surveyed.

### *Village access*

Although representatives from 208 of 210 villages were interviewed, surveyors were not able to conduct the targeted 15 interviews in every village. Ongoing fighting, insecure non-vehicle access paths to villages and other security-related concerns forced a slight modification in the interview methodology. Since surveyors were unable to travel to 10 villages (See Table E), the decision was made to interview members of those communities at the regional market; thus creating a situation whereby the respondent was unknowingly self-selecting him/herself for the survey. Although this diminishes the strength of the overarching data collection methodology, ultimately having some information from those villages was deemed to be better than having no information.

As discussed in the *Data Quality Control* section above, those villagers who were to be surveyed in the regional market were added to the list of villages to receive DQC.

Additionally, the safety of female surveyors in certain areas could not be guaranteed and therefore they did not travel. Some randomly selected women did not agree to be interviewed, fearing reprisal from the community and/or their family; this was primarily the case in remote villages of Farah province with similar instances recorded in the Qadis district of Badghis province and the Shindand district of Herat province. In a few cases in Farah province, a male head of household refused to allow women to be interviewed, even by female surveyors. While regrettable, it is thus understandable that the 50% male/50% female target for interviews was not achieved.

**Table E – Villages surveyed in regional markets**

| Province | District | Village |
|---|---|---|
| **Herat** | Shindand | Taraz |
| **Herat** | Shindand | Emarat Wosta |
| **Herat** | Shindand | Joye Soor |
| **Herat** | Shindand | Karaiz Zanjer |
| **Herat** | Shindand | Zerkoh |
| **Farah** | Bala Boluk | Bar Zoo |
| **Farah** | Bala Boluk | Now Bahar |
| **Farah** | Bala Boluk | Azaw |
| **Farah** | Bala Boluk | Zar Mardan |
| **Farah** | Bala Boluk | Bakhsh Abad |

### *Incorrect survey administration*

While monitoring survey implementation, the SIKA-West M&E Assistant in Bala Boluk district of Farah province recorded on his DQC form that 5 surveys had been completed in rapid succession; all 5 took only 7 minutes. Upon further investigation, it became apparent that the interviewer had incorrectly grouped the 5 interviewees together, not only explaining the questionnaire but also writing down answers while they were in one group. In some cases, usually when the security situation in a given village was unstable, surveyors would invite randomly selected members of randomly selected households to one house, individually conducting interviews in a different room or (less desirable but still acceptable) a

different part of the room. This is not ideal but also not unacceptable given the security constraints within which the survey was conducted. However, in this instance, not only were all respondents in the same room, they were also interviewed together. This is enough of a diversion from the established methodology to warrant the removal of these 5 surveys from the results.

Additionally, a number of questionnaires were discarded during the data entry stage for not having complete information. Those conducting the interviews were not professional surveyors; however, a vast majority of questionnaires were filled in correctly and interviews conducted properly.

## RESULTS & ANALYSIS

Below are the detailed results and analysis of the baseline survey data. Some questions have been grouped together as they are meant to be viewed and analyzed complementarily.

### Gender Neutral Questions

#### *Q1: Things headed in the right or wrong direction*

**Are things going in the right or wrong direction?**

| Response | Percentage |
| --- | --- |
| Very much in the right direction | 11% |
| Somewhat in the right direction | 55% |
| Somewhat in the wrong direction | 27% |
| Very much in the wrong direction | 3% |
| Refused to answer | 1% |
| Does not know | 3% |
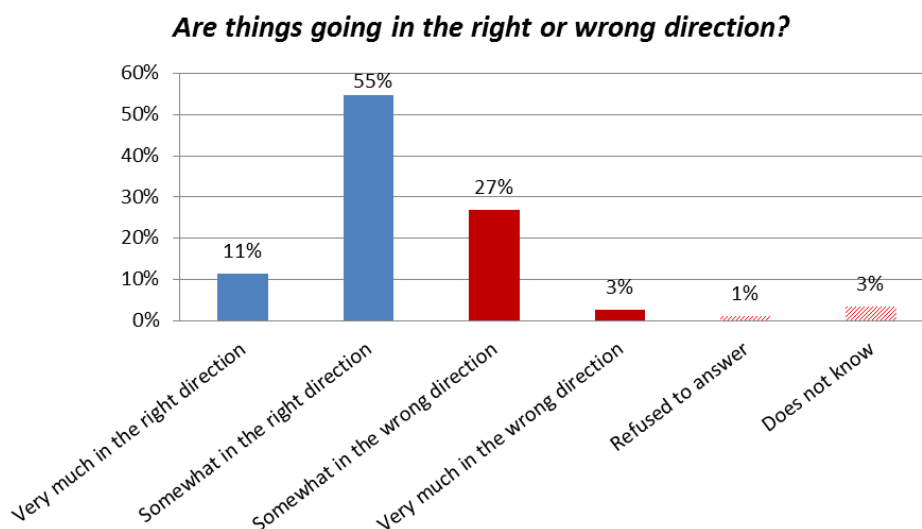
A majority (66%) of those surveyed reported that things in their communities were moving in the right direction. This was a general question meant to start off the questionnaire with initial impressions unbiased by sentiments aroused by the rest of the questions. 30% of Afghans surveyed did not think things were moving in the right direction, though it is worth noting that only 14% of respondents (11% positive and 3% negative) were adamant about their response.

### Q2/3/4/5: Confidence in district-level entities (government & councils)

**How much confidence do you have in government?**
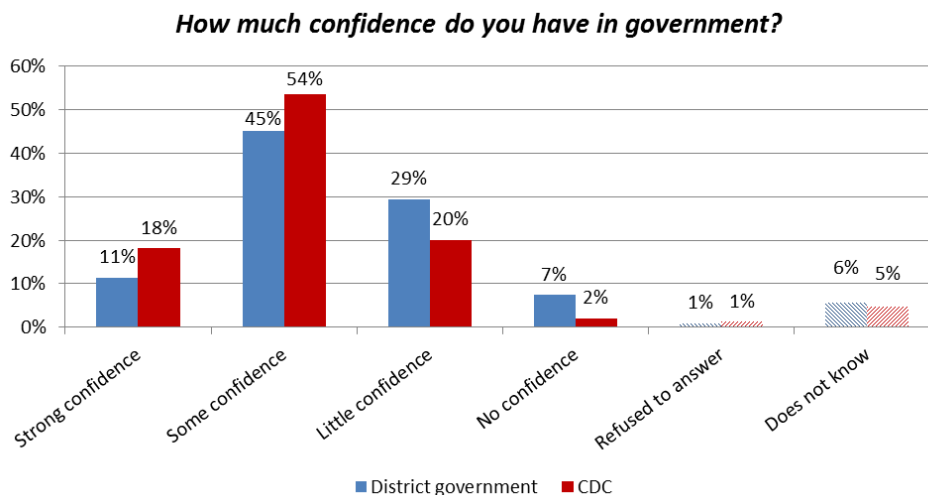


Overall, more people than not professed to have confidence in both the district-level government and CDCs, though CDCs seem to inspire more confidence at the village level. Compared to their district government counterparts, CDCs were more likely to be reported as inspiring confidence and less likely for people to say that they have no confidence in them.

When asked to provide examples of why they *did not* have confidence in district-level government, many respondents cited alleged bribery and other corruption. The existence of infrastructure projects (schools, dams, roads, etc.) was the most common reason (other than security) why people reported having confidence in district-level government. Perceptions of security dictated confidence levels in both directions: if the area was perceived to be safe and secure then confidence in local government would be high while the inverse was also true.

Regarding CDCs, the examples of confidence-inspiring actions by the CDCs were much the same as those for district-level government, leading to a theory (that should be further researched) that the difference between the two entities is not widely understood at the village level.

### Q6: Role of government

Respondents were asked a general, and deliberately vague, question about what they perceive to be the role of GIRoA. One of the goals of SIKA-West is to better sensitize Afghans to the role their government can and should play in their lives. Without prompting from the surveyor, the responses give us baseline insight into the perceptions of Afghans towards their government before SIKA-West activities begin. This question was designed to elicit as many initial reactions as possible.

*What is the role of government?*
- Establish security;
- Economic support/jobs;
- Agriculture development;
- Services/infrastructure;
- Help people;
- Engage in corruption.

Responses could generally be grouped in five 'positive' (security, economy, agriculture, services, and generally helping people) categories and one 'negative' (corruption) category on which the government should play a key role. Hypothetical constructs (like this question) are difficult even in the best of survey environments and those respondents who said that engaging in corruption as a primary role of government were most likely expressing frustrations and cynicism based on real-world experiences. However, a vast majority of the responses focused on positive roles that the government should play in society.

The biggest role of the government, somewhat unsurprisingly, was said to be the establishment of security. Many felt that the government should also play an active role in the economy and, in rural areas particularly, agriculture development. Though not cited as often as security and economic issues, many felt that the government should provide services (education, health care, clean water, etc.) and infrastructure (roads, bridges, etc.) linking communities.

*Q7/Q8: Functionality and effectiveness of government*

**How functional/effective is the government?**
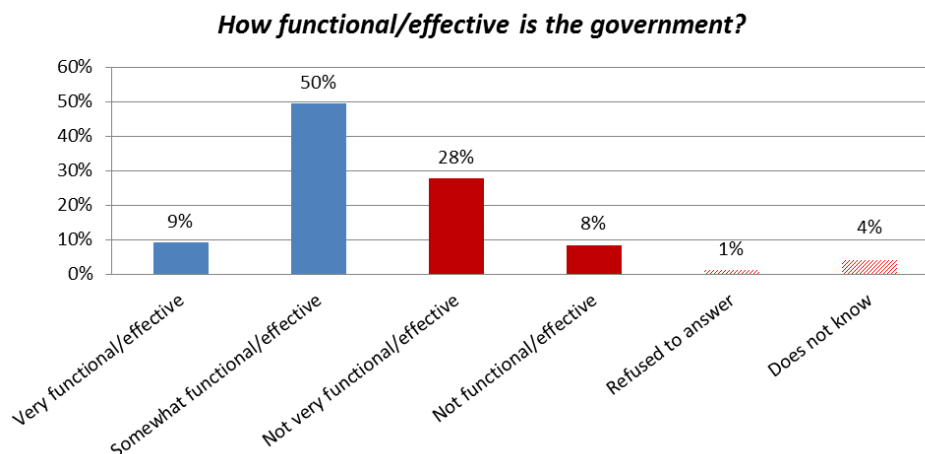


Overall, a majority (59%) of respondents reported that the government was functional and effective with 36% reporting that the government is not effective. Though responses to the two questions are not exactly correlated, the next question deals with the respondent's last interaction with a government official. 26% of respondents claim to have never interacted with a government official, a simple gesture that can increase confidence in, and perceptions of functionality/effectiveness of, the government. The potential correlation should be researched further.

**Last interaction with a government official?**
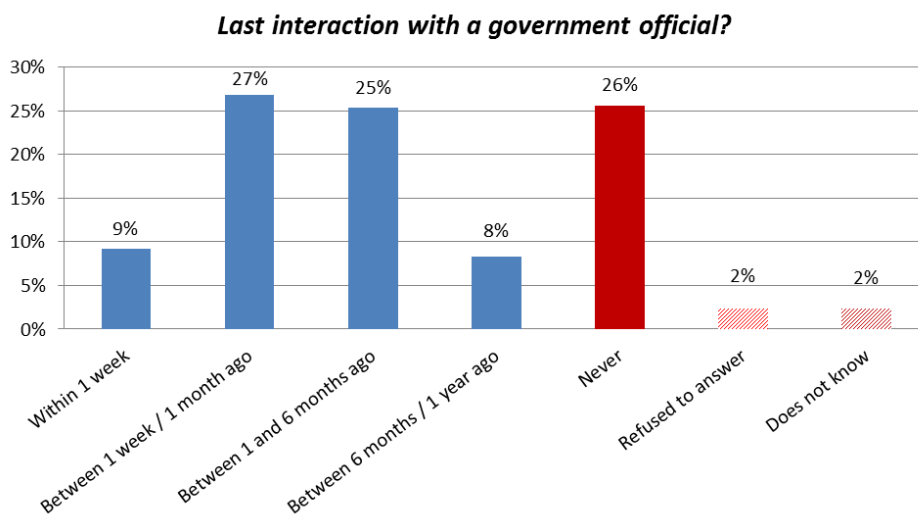
### Q9: Willingness to access government services

**Ever sought out services from the government?**
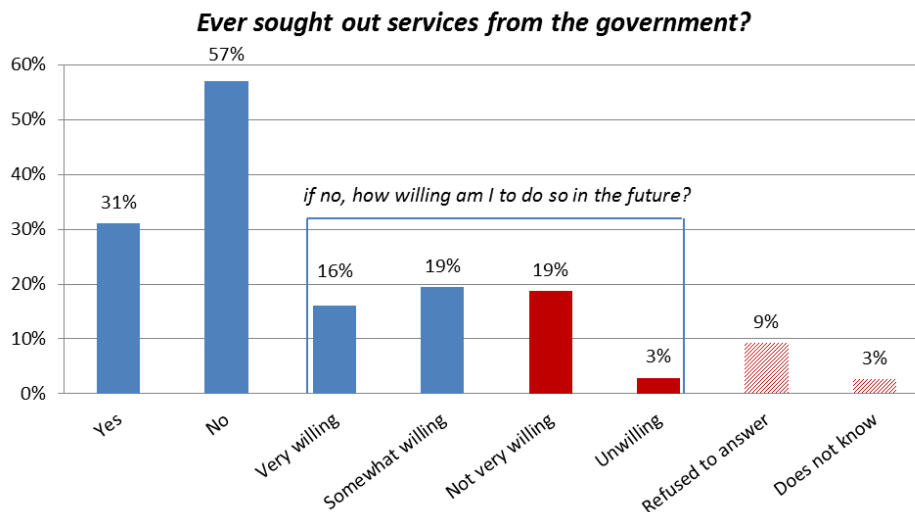


Respondents showed great willingness to seek services from the government. Only 22% of those who had not received any services to date professed unwillingness to try them out in the future. It is worth noting the relatively high (9%) rate of refusal to answer. Access to and quality of government services can often be sensitive topics and some respondents did express a reluctance to discuss government-related issues for fear that the surveyor would report them (despite assurances to the contrary at the beginning of each interview). It is therefore perceivable that these refusals are related to these concerns.

### Q10/11: Accountability of district/provincial governments to citizens

**How accountable is government?**
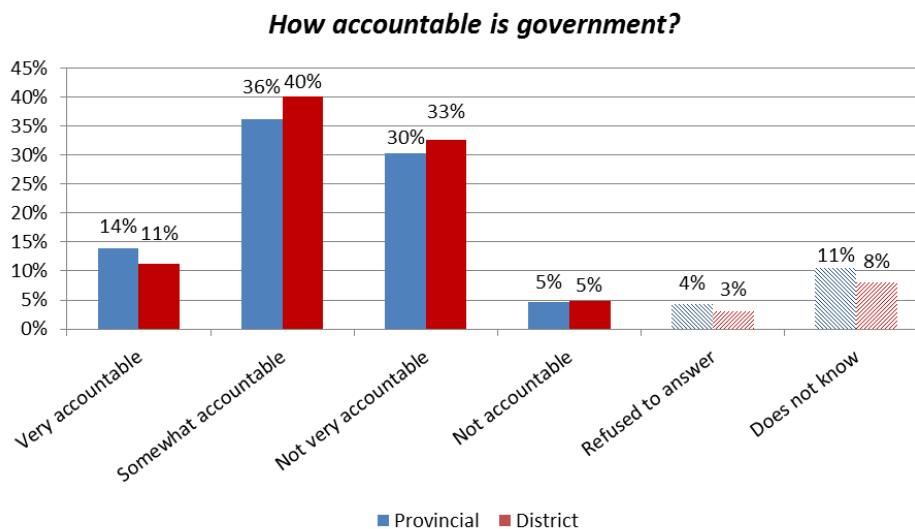


Barely a majority (50% and 51% for provincial and district, respectively) of respondents felt as if their government was accountable to them as citizens, with high numbers (35% and 38% for provincial and

district, respectively) of people feeling as if their officials are not accountable to them. Accountability here includes responsiveness[22]. It is worth noting the relatively high number of "I don't know" responses. Despite extensive training of surveyors on the meaning and different facets of accountability, the concept likely remained elusive to some respondents (and/or surveyors).

### Q12/13/14: Access to info about and quality of government services



**Info on government services**
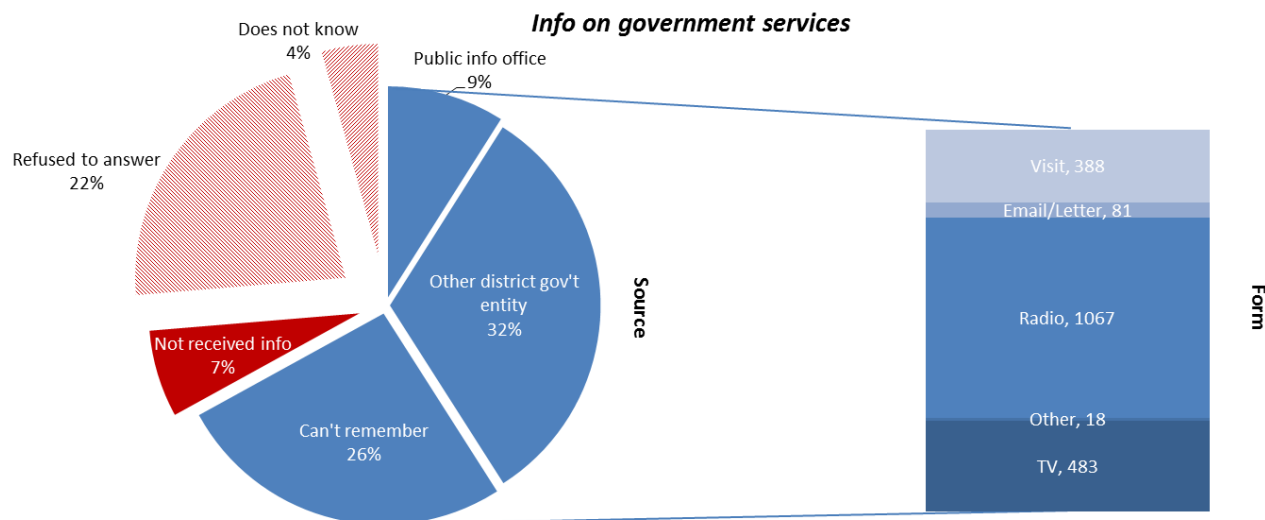
A majority of respondents reported having received information on government services, most often in the form of radio broadcasts. However, much as with Q9 above, a significant portion (in this case 22%) of respondents refused to comment on government services.



**Satisfaction of services received**

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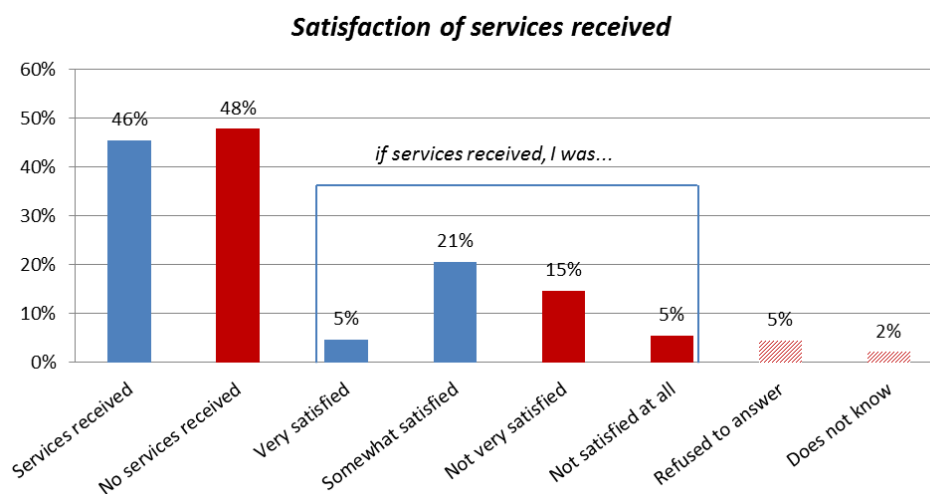
[22] Provincial and district government-related responsiveness questions were removed from the questionnaire after the pilot survey due to confusion among respondents; ultimately responsiveness was deemed to be part of accountability. See the *Pilot Survey* section above for more details.

Among those receiving services, satisfaction levels varied though only slightly skewed in a positive direction (26% were very or somewhat satisfied while 20% were not).

**Fairness/transparency of services?**
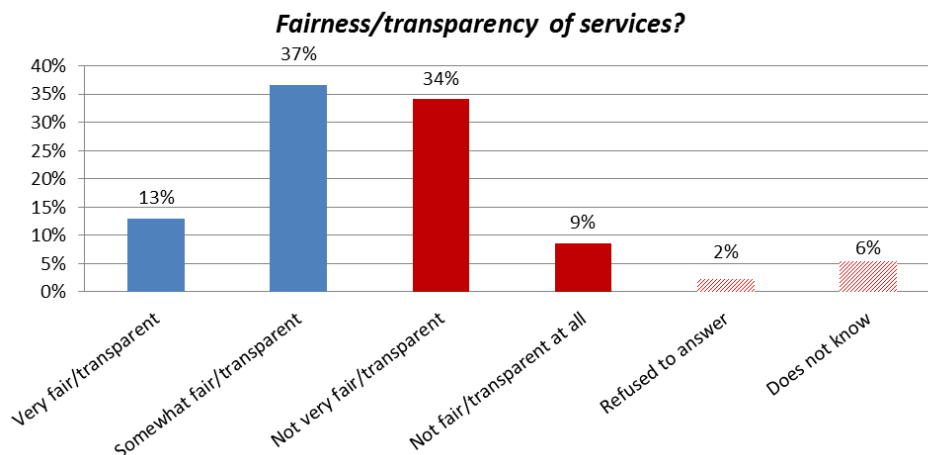


Likewise, almost half (43% versus 50%) of respondents reported that government services were not administered in a fair and transparent manner.

*Q15: Stability of community*

**How stable is your community?**
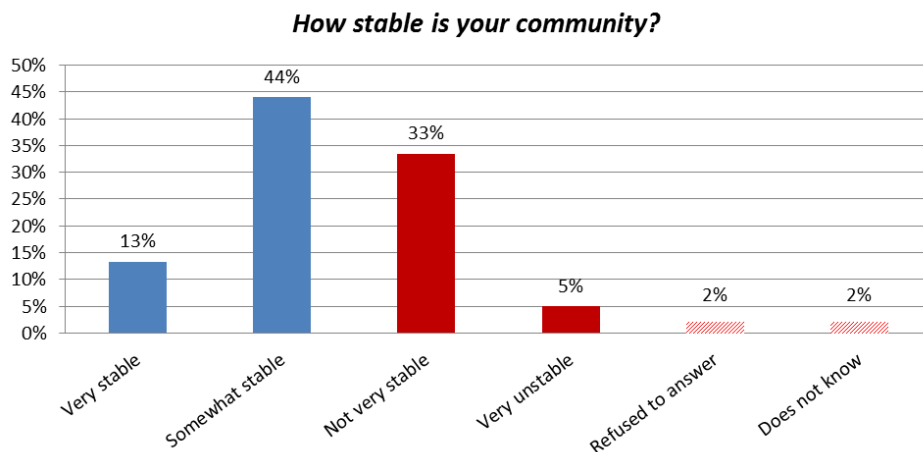


57% of respondents responded positively with 38% still maintaining concerns when asked about stability in their community, a fairly sharp division in perceptions of stability. These results are closely linked to perceptions of safety (Q16).

*Q16: Perceptions of safety in daily life*

### How safe do you feel?
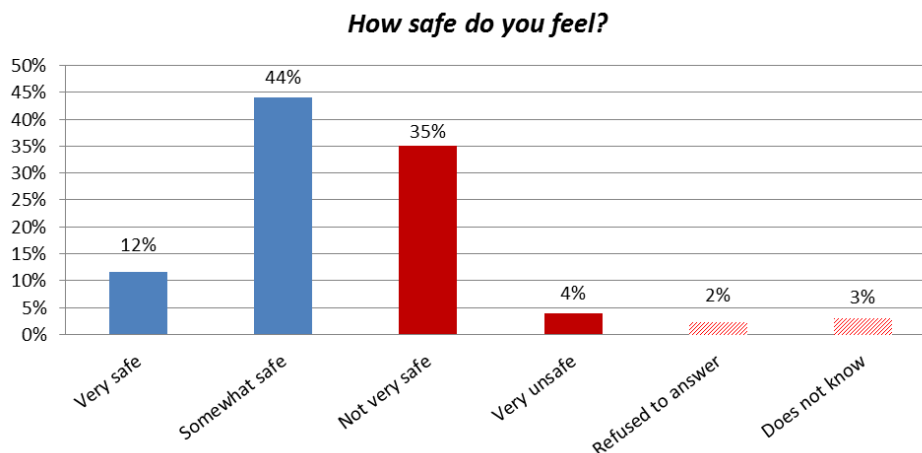


Perceptions of safety were closely linked to those of stability (Q15); in fact results practically mirror one another. This could either be because the difference between safety and stability was not properly known by the respondent or explained by the surveyor; or it could be because the two concepts are closely linked.

*Q17/18: Government's ability to provide security*

### How confident are you that government can provide security?
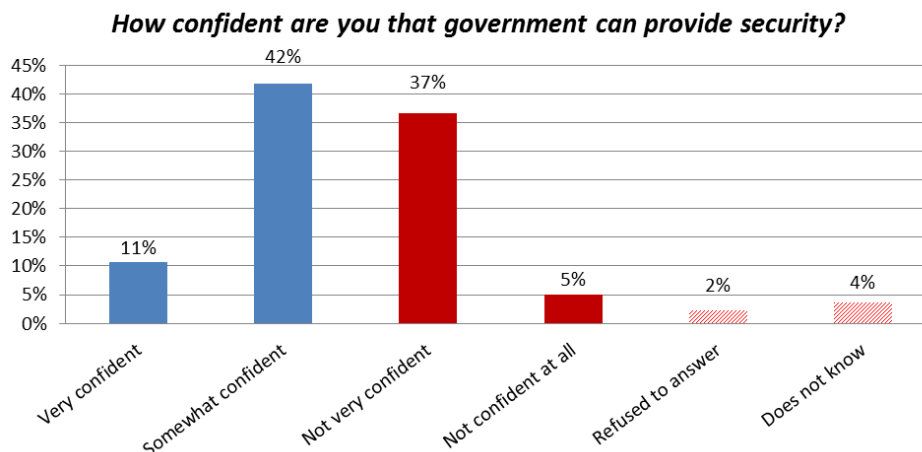


As with the safety- and stability-related questions above, respondents were sharply divided when asked if they thought the government could provide security and whether or not the government was responsive to security concerns of the community (see below). Follow-up analysis should be done on these divisions to find out whether they are based on geography, presence of anti-government elements, or other reasons.

### Responsiveness of government security to your concerns
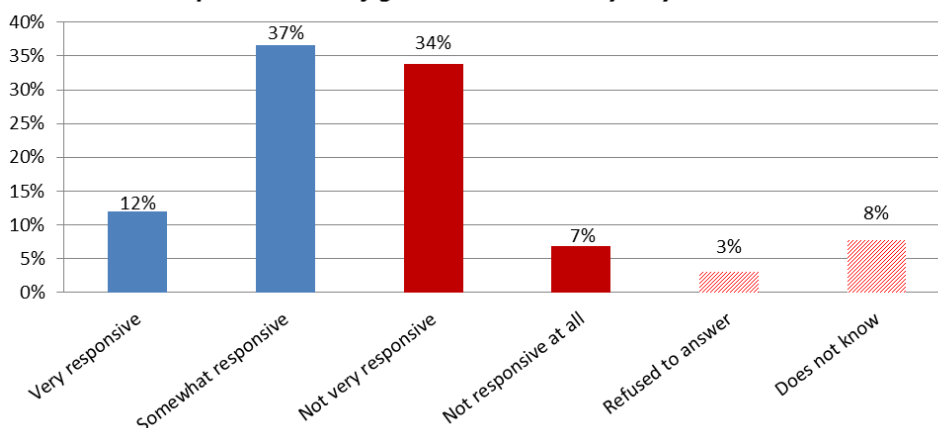


### Q19/20: Perceptions of the future

### Positive or negative about the future?
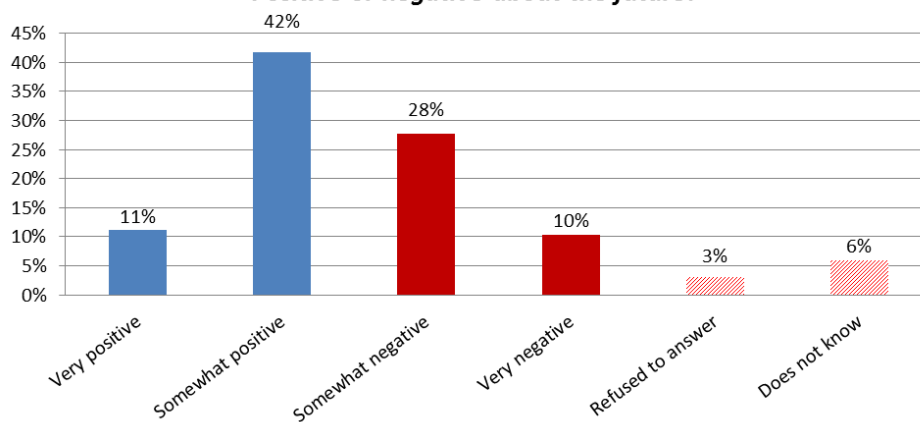


53% of respondents reported being positive about the future; however, this means that 38% still reported having a negative outlook. When asked about specific positive developments, respondents were quick to mention better security and increased economic success as things that ('*inshAllah*') will happen in the future.

### Will anything positive happen in the future?



| | |
|---|---|
| Better security | 1027 |
| Better access to public services | 763 |
| Increased economic activity - community | 845 |
| Increased economic success - family | 983 |
| Other | 39 |
| Nothing positive will happen in the future | 584 |
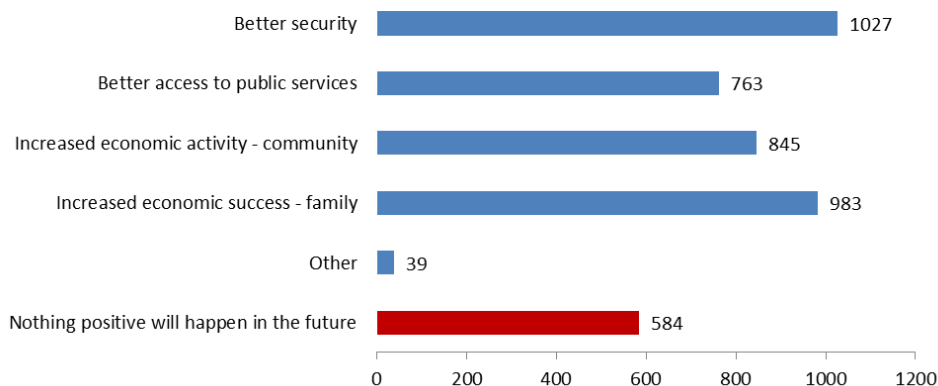
## *Q21/22: Conflict resolution*

**Who do you go to for dispute resolution?**



| | |
|---|---|
| Local/Tribal elders | 2121 |
| Government officials | 1519 |
| Anti-government elements | 344 |
| Other | 19 |
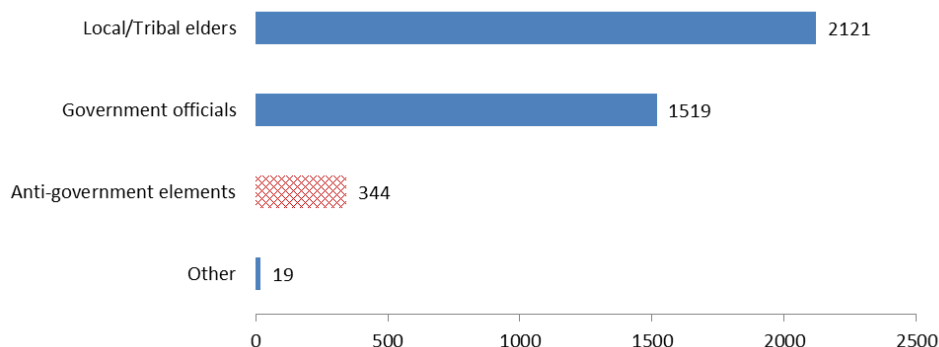
Respondents to Q21 were given the option of choosing multiple answers since most dispute resolution attempts are first made at the local/tribal level. Indeed, 2,121 respondents claimed to go there for resolution with a further 1,519 claiming to use official government mechanisms (including civil courts). Though proportionally lower than the other options, 344 respondents still reported approaching anti-government elements (the Taliban or others) for dispute resolution.

Interestingly (and regardless of the resolving entity), dispute resolution mechanisms seem to be highly respected. A vast majority (81%) reported better than average confidence that disputes will be resolved fairly (see below), indicating significant levels of trust in the adjudicating body.

**Confidence that dispute will be resolved fairly**



| Strong confidence | Some confidence | Little confidence | No confidence | Refused to answer | Does not know |
|---|---|---|---|---|---|
| 26% | 55% | 14% | 2% | 2% | 1% |
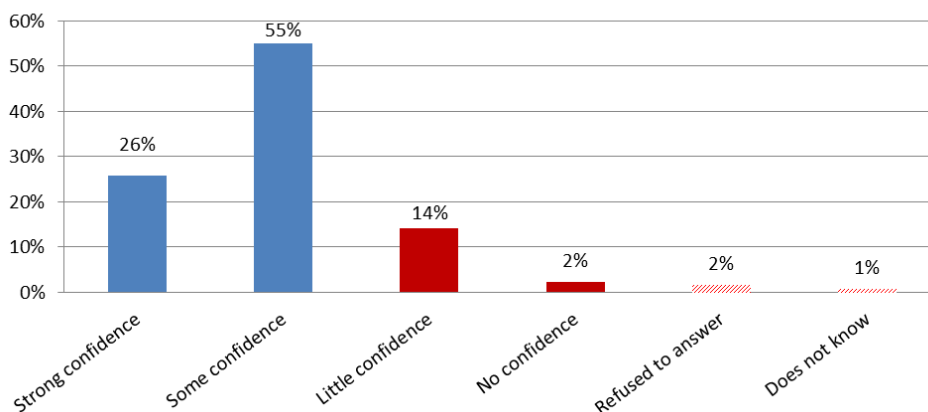
## Women Only Questions

### *Q23/24: Women-specific services*

**What women-specific services are available?**
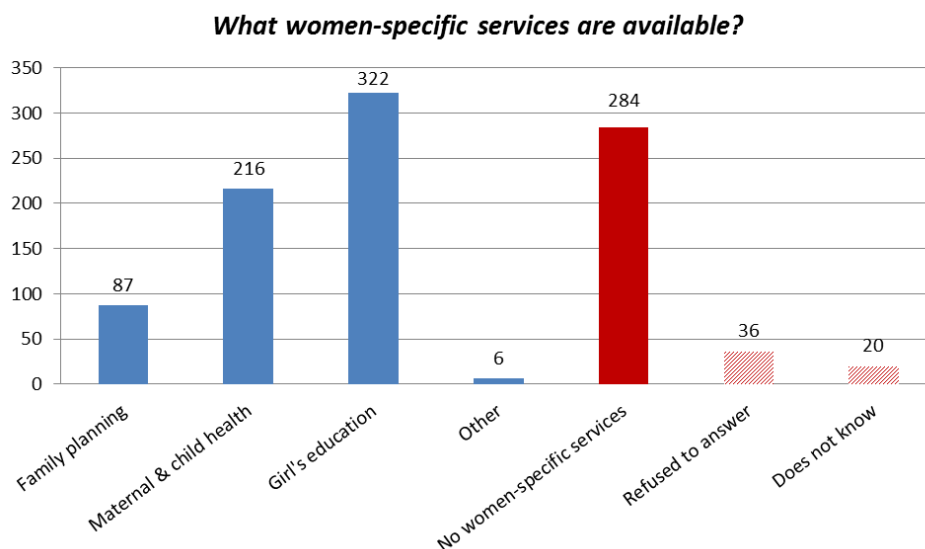


Women respondents were given the opportunity to choose as many services as were available in their community. They were interviewed by women separately from men in their household and community. While girl's education received the highest selection, 284 (36% of 794 female respondents) reported that there were no services in their district.

**What women's services would you like to see?**
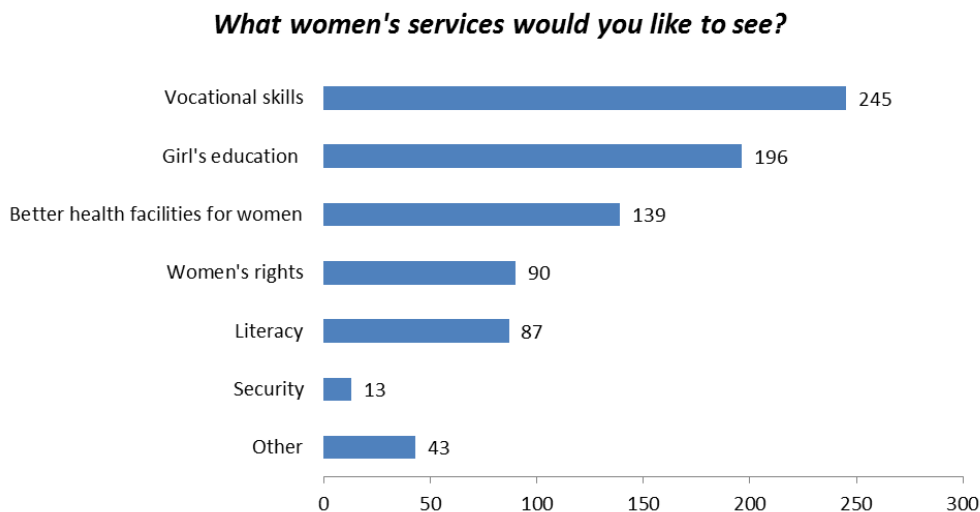


When asked what women-specific services they would like to see in their district, most responses can be grouped into the categories shown above. Vocational skills training, girl's education and better access to women-specific health services were cited most often by respondents. The 'Women's rights' category includes calls for the establishment of separate women's councils, programs to combat violence against women, better legal representation and inheritance laws, and one respondent simply saying she wanted 'freedom'.

*Q25: Ability to voice opinions and concerns*

**How free are women to voice opinions/concerns?**
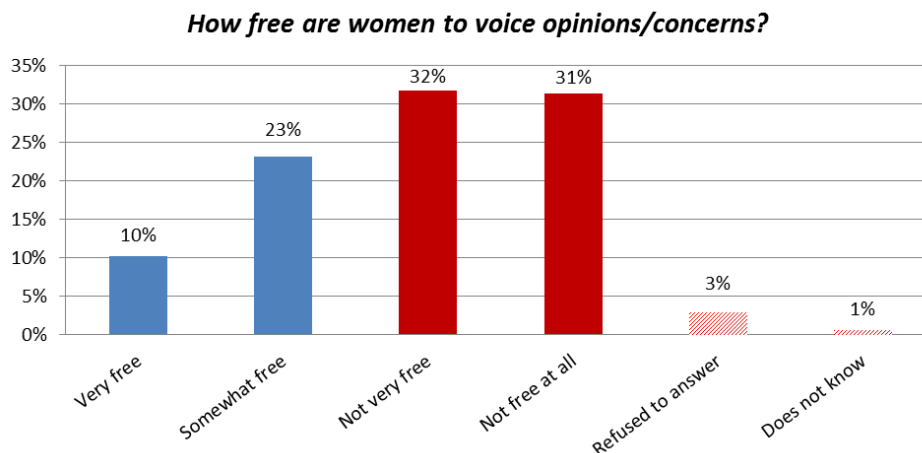


When asked whether they felt free to voice opinions and concerns, fully 63% reported that women are not very free (32%) or not free at all (31%) to do so in their community. It is worth noting that only 3% (24) of the 794 female respondents refused to answer this question.

## PMP BASELINE VALUES

Please see Annex V for a chart of the relevant PMP indicators and recommendations on baseline values based on the results of the survey.

## RECOMMENDATIONS

### *Review Results with Stakeholders*

SIKA-West should utilize this baseline information to further develop the strategy of the intervention, report results and measure impact. Together with MRRD and USAID, the SIKA-West team should interpret the data collected and utilize that knowledge to hone/target program activities. Additionally, the M&E team should present the information to all relevant internal departments, ensuring that all staff (with a particular focus on staff members with regular contact in communities) are aware of the results and can appropriately utilize their lessons in program implementation.

Of particular relevance to MRRD, CDCs and other development-related bodies with whom SIKA-West works closely are the respondent's perceptions on the functionality and accountability of government and the services (especially women-specific services) they are provided.

### *Ask Gender-specific Questions to Both Genders*

The last three questions on the questionnaire were meant to be asked only to women. In future surveys, these questions should also be asked to men in the same areas. The result of this would be an interesting juxtaposition of female vs. male perceptions of women's issues in the community with minimal extra time commitment from the surveyor.

### *Allow Adequate Time for Survey*
The baseline survey was condensed into 1.5 months with less than a month allocated to data collection. When administering similar surveys in such a large geographic area, it is recommended that at least 1.5 to 2 months total are planned with ideally 1 to 1.5 months allocated to data collection. This will mitigate the possibilities of 'rushed' collection and data entry which could lead to mistakes.

### *Standardize Village Name Lists*
The initial population of villages came from a mixed list from the SIKA-West "Master Tracker" and data provided by MISTI. The names (and indeed existence) of the villages on these lists were often different or contradictory. Efforts should be made to get a USAID-accepted list of districts and villages. This list, and the exact spelling of villages therein, should then be used for future surveys and, ideally, for program implementation.

### *Complete Follow-up Data Collection*
The information presented above serves as a useful basis for discussion of issues with GIRoA. Additionally, it presents a unique opportunity to delve deeper into some of the problem areas to better understand sources of instability and negative (and positive) perceptions of government. Several of the responses regarding stability, services, and other subjects require deeper research to truly understand the root causes of reported perceptions; this will be very useful when designing SIKA-West interventions.

This baseline survey should be followed up with *focus groups* of 8-12 community members that are roughly representative of the community as a whole. These discussions will provide further insight into the survey results and, if conducted by Afghans in a gender and culturally sensitive way, will also serve as a benchmark for the views of citizen from under-represented populations, such as women, and youth. Focus groups have added importance in terms of SIKA-West program goals as they will provide early and important information that will guide understanding of local conditions and attitudes and facilitate early program design, especially for IR1.

Focus group data should be coupled with *key informant interviews* of important community, tribal, district and provincial leaders. It is assumed that these leaders have in-depth knowledge of community- and higher-level issues that survey respondents and focus group participants may not have.

### *Conduct Final Impact Survey*
No SIKA-West projects had been implemented before the baseline was completed; thus the entire population of those surveyed can be viewed as a 'control group' of sorts. At the end of the project the final impact survey will ask similar (or the same) questions to Afghans living in villages that did receive SIKA-West interventions. They should also ask the same questions to similar villages that did not receive SIKA-West interventions, thus comparing the initial baseline survey results with final survey results from treatment and control groups. This is essentially a quasi-experimental design 'matching' villages that receive aid with village that are similar on all characteristics but that did not receive assistance. These similar characteristics (population, tribe, language, etc.) should be detailed in the final survey. The final evaluation (and any other/different types of evaluation in between) should attempt to quantify any change effected by interventions compared to the counterfactual case of what would have taken place without the interventions, then making causal inferences about the relationship between the programming and whatever stability is achieved (or not).

# ANNEXES

## ANNEX I: FINAL QUESTIONNAIRE

**Questionnaire**

*Circle appropriate answers or write answer when there is a blank space.*    _____*Answer*_____ .

| | **Day (1, 2, etc.)** | **Month** | **Year** |
|---|---|---|---|
| **Date of Interview**: | _____ | April<br>May | 2013 |

**Time of Interview (24h clock):**    __ __: __ __    (example – <u>1</u> <u>3</u> : <u>3</u> <u>0</u> for 1:30pm)

**Name of Interviewer**:_____

| **Province**: | <u>1. Herat</u> | <u>2. Farah</u> | <u>3. Badghis</u> |
|---|---|---|---|
| **District**: | 1a. Shindand | 2a. Bala Boluk | 3a. Muqur |
| | 1b. Kushk Rabat-e Sangi | 2b. Pusht-e Rod | 3b. Qadis |
| | 1c. Pashtun Zarghun | | |
| **Village**: | _____ | _____ | _____ |

**Language of Interview:**    Dari    Pashto    Other _____

**Gender of Interviewee:**    Male    Female

**GPS Coordinates:**    __ __._____°N    __ __._____°E

**Was the survey conducted in the home village of the participant?**    Yes    No

---

**Informed Consent**

INTERVIEWER READ:

*"I am from an independent research organization that conducts research on perceptions of government, security and government services. Although we have received official permission to conduct this survey, we are independent and not a part of the government. We would like to ask you some questions regarding your household, village, local leaders, etc.*

*We will not record your name and the answers you and others provide will be kept confidential. Your responses to the survey questions are strictly voluntary, but they are very important to us and we hope you participate fully.*

*Do you give your consent for me to proceed?"*

Informed Consent Received    Yes    No    (Note: If 'No', do not proceed.)

---

**Questions**

1. Generally speaking, are things in your district going in the right direction or in the wrong direction?
   a. Very much in the right direction  (a lot)
   b. Somewhat in the right direction (a little)
   c. Somewhat in the wrong direction (a little)
   d. Very much in the wrong direction (a lot)

   y. Refused to answer
   z. Does not know.

2. Do you have confidence in the District Governor's office, and other district-level government?
   a. Strong confidence
   b. Some confidence
   c. Little confidence
   d. No confidence

   y. Refused to answer
   z. Does not know.

3. Please provide specific examples of instances where you do (or do not) have confidence in the District Governor's office, and other district-level government.

4. Do you have confidence in the CDC?
   a. Strong confidence
   b. Some confidence
   c. Little confidence
   d. No confidence

   y. Refused to answer
   z. Does not know.

5. Please provide specific examples of instances where you do (or do not) have confidence in the CDC.

6. What do you see as the role of government?

7. How functional and effective do you think the government is?
   a. Very functional and effective
   b. Somewhat functional and effective
   c. Not very functional or effective
   d. Not functional or effective at all

   y. Refused to answer
   z. Does not know.

8. When was the last time you interacted with a government official?
   a. Within one week
   b. Between one week and one month ago
   c. Between one month and six months ago
   d. Between six months and one year ago
   e. Never

   y. Refused to answer
   z. Does not know.

9. Have you ever sought out services and assistance from the government?
      a. Yes                b. No

                y. Refused to answer       z. Does not know.

      --If 'No'--how willing are you to seek out services and assistance from government if you need them?
      a. Very willing
      b. Somewhat willing
      c. Not very willing
      d. Not willing at all (unwilling)

10. How accountable do you believe that <u>provincial</u>-level government officials are to you as a citizen?
      a. Very accountable
      b. Somewhat accountable            y. Refused to answer
      c. Not very accountable           z. Does not know.
      d. Not accountable at all (they do not represent me or feel responsible for me)

11. How accountable do you believe that <u>district</u>-level government officials are to you as a citizen?
      a. Very accountable
      b. Somewhat accountable            y. Refused to answer
      c. Not very accountable           z. Does not know.
      d. Not accountable at all (they do not represent me or feel responsible for me)

12. Have you received information about services available to you from the public information office or any district government entity?
      a. Yes, from the public information office      y. Refused to answer
      b. Yes, from another district government entity     z. Does not know.
      c. Yes, but I don't remember from where
      d. No, I have not received any information about services

      --If 'Yes'—in what form did you receive the information? *(check all that apply)*
        ☐   Personal visit
        ☐   Radio
        ☐   Television
        ☐   Email or letter
        ☐   Other _____

13. Have you received any services provided by the government?
      a. Yes                b. No

             y. Refused to answer      z. Does not know.

      --If 'Yes'—how satisfied were you with the services provided by the government?
      a. Very satisfied
      b. Somewhat satisfied
      c. Not very satisfied
      d. Not satisfied at all (unsatisfied)

14. How fair and transparent are the delivery of basic services?
      a. Very fair and transparent
      b. Somewhat fair and transparent
      c. Not very fair and transparent     y. Refused to answer
      d. Not fair and transparent at all      z. Does not know.

15. Overall, how stable a place to live is your community?
     a. Very stable
     b. Somewhat stable
     c. Not very stable
     d. Not stable at all (very unstable)

     y. Refused to answer
     z. Does not know.

16. How safe do you feel in your everyday life?
     a. Very safe
     b. Somewhat safe
     c. Not very safe
     d. Not safe at all (very unsafe)

     y. Refused to answer
     z. Does not know.

17. How confident are you that government security services can provide security?
     a. Very confident
     b. Somewhat confident
     c. Not very confident
     d. Not confident at all (the government does not provide security and/or is not present)

     y. Refused to answer
     z. Does not know.

18. How responsive do you think government security services are to your security-related concerns?
     a. Very responsive
     b. Somewhat responsive
     c. Not very responsive
     d. Not responsive at all (unresponsive)

     y. Refused to answer
     z. Does not know.

19. How positive or negative do you feel about the future?
     a. Very positive
     b. Somewhat positive
     c. Somewhat negative
     d. Very negative

     y. Refused to answer
     z. Does not know.

20. Do you foresee anything positive happening in the future? If so, what? *(check all that apply)*
     ☐ Increased economic success in your family
     ☐ Increased economic activity in your community/village/district
     ☐ Better access to public services
     ☐ Better security
     ☐ Other _____
     ☐ Nothing positive will happen in the future

21. Which of the following groups do you approach to resolve disputes? *(check all that apply)*
     ☐ Local/tribal leaders
     ☐ Government officials (provincial or district level)
     ☐ Anti-government elements (Taliban or other)
     ☐ Other _____

22. How much confidence do you have that this group (selected above) will resolve disputes fairly?
     a. Strong confidence
     b. Some confidence
     c. Little confidence
     d. No confidence

     y. Refused to answer
     z. Does not know.

*Questions only for women. Men's questionnaire ends here.*

23. Are there any services specifically for women in your district?
    a. Yes                    b. No
                                        y. Refused to answer      z. Does not know.

    --<u>If 'Yes'</u>—what services specifically for women are available? *(check all that apply)*
- ☐ Family planning
- ☐ Maternal and child health
- ☐ Girl's education
- ☐ Other _____

24. What types of services specifically for women would you like to see in your district?

25. How free do you feel women are to voice opinions and concerns in the community?
    a. Very free
    b. Somewhat free                  y. Refused to answer
    c. Not very free                   z. Does not know.
    d. Not free at all

## ANNEX II: SURVEY SAMPLE

| # | Prov | District | Village |
|---|------|----------|---------|
| 1 | Herat | Shindand | Ali Abad |
| 2 | Herat | Shindand | Changan |
| 3 | Herat | Shindand | Dokasha |
| 4 | Herat | Shindand | Dombook |
| 5 | Herat | Shindand | Du Rodi |
| 6 | Herat | Shindand | Emarat Bala |
| 7 | Herat | Shindand | Emarat Payen |
| 8 | Herat | Shindand | Emarat Wosta |
| 9 | Herat | Shindand | Faj Hulya |
| 10 | Herat | Shindand | Faj Sufla |
| 11 | Herat | Shindand | Joye Soor |
| 12 | Herat | Shindand | Kah |
| 13 | Herat | Shindand | Kal Kaftar |
| 14 | Herat | Shindand | Karaiz Zanjer |
| 15 | Herat | Shindand | Kashak |
| 16 | Herat | Shindand | Khair Abad |
| 17 | Herat | Shindand | Kohak |
| 18 | Herat | Shindand | Koohe Zoor |
| 19 | Herat | Shindand | Koshk |
| 20 | Herat | Shindand | Krez Tapah |
| 21 | Herat | Shindand | Mandal |
| 22 | Herat | Shindand | Manzil Ahmadi |
| 23 | Herat | Shindand | Meer Sadat |
| 24 | Herat | Shindand | Mullah Naspand |
| 25 | Herat | Shindand | Nasrabad |
| 26 | Herat | Shindand | Now Abad Balashar |
| 27 | Herat | Shindand | Now Abad Chardari |
| 28 | Herat | Shindand | Now Abad Joy Ghazi |
| 29 | Herat | Shindand | Now Abad Posht Koh |
| 30 | Herat | Shindand | Now Abad Zawol |
| 31 | Herat | Shindand | Poshte Kooh |
| 32 | Herat | Shindand | Poshte Shahr |
| 33 | Herat | Shindand | Qala Omer |
| 34 | Herat | Shindand | Qal'eh-Ye Rahmdel |
| 35 | Herat | Shindand | Qanraiz |
| 36 | Herat | Shindand | Qasaba |
| 37 | Herat | Shindand | Rabat Now |
| 38 | Herat | Shindand | Rabat Zori |
| 39 | Herat | Shindand | Seya Sar Bala |
| 40 | Herat | Shindand | Seya Sar Payen |

| # | Prov | District | Village |
|---|------|----------|---------|
| 41 | Herat | Shindand | Shaikh Kaman Bala |
| 42 | Herat | Shindand | Shaikh Kaman Payen |
| 43 | Herat | Shindand | Shor Ab |
| 44 | Herat | Shindand | Taraz |
| 45 | Herat | Shindand | That-e- Qasabah |
| 46 | Herat | Shindand | Wakhil Sayed |
| 47 | Herat | Shindand | Zawol |
| 48 | Herat | Shindand | Zerkoh |
| 49 | Herat | Kushk Rabat-e Sangi | Ab Baraik Hulya |
| 50 | Herat | Kushk Rabat-e Sangi | Ab Baraik Sufla |
| 51 | Herat | Kushk Rabat-e Sangi | Allaf Haji Abdel |
| 52 | Herat | Kushk Rabat-e Sangi | Bar Jang Haidar Bai |
| 53 | Herat | Kushk Rabat-e Sangi | Bar Jang Star Bai |
| 54 | Herat | Kushk Rabat-e Sangi | Birjanak |
| 55 | Herat | Kushk Rabat-e Sangi | Chahar Dara |
| 56 | Herat | Kushk Rabat-e Sangi | Chashma Haji Qourban |
| 57 | Herat | Kushk Rabat-e Sangi | Do Ab Payen |
| 58 | Herat | Kushk Rabat-e Sangi | Haqaba Mir |
| 59 | Herat | Kushk Rabat-e Sangi | Markaz Wolluswaly |
| 60 | Herat | Kushk Rabat-e Sangi | Chap Qoul |
| 61 | Herat | Kushk Rabat-e Sangi | Faiz Abad |
| 62 | Herat | Kushk Rabat-e Sangi | Ghnat Wakil |
| 63 | Herat | Kushk Rabat-e Sangi | Jagatai |
| 64 | Herat | Kushk Rabat-e Sangi | Joye Toor Ghundi Sofla |
| 65 | Herat | Kushk Rabat-e Sangi | Khaja Ghor |
| 66 | Herat | Kushk Rabat-e Sangi | Khaja Gulbid |
| 67 | Herat | Kushk Rabat-e Sangi | Khalifa Rahmat |
| 68 | Herat | Kushk Rabat-e Sangi | Khod Ro |

| # | Prov | District | Village | # | Prov | District | Village |
|---|------|----------|---------|---|------|----------|---------|
| 69 | Herat | Kushk Rabat-e Sangi | Kholai Morgh | 108 | Farah | Bala Boluk | Azaw |
| 70 | Herat | Kushk Rabat-e Sangi | Qeshlaq Afghanan | 109 | Farah | Bala Boluk | Bakhsh Abad |
| 71 | Herat | Kushk Rabat-e Sangi | Khowja Gul Baidak | 110 | Farah | Bala Boluk | Bala Buluk |
| 72 | Herat | Kushk Rabat-e Sangi | Kushk Rabat-e Sangi | 111 | Farah | Bala Boluk | Bar Zoo |
| 73 | Herat | Kushk Rabat-e Sangi | Mohammad Nazari | 112 | Farah | Bala Boluk | Dizak |
| 74 | Herat | Kushk Rabat-e Sangi | Rabat Sangi Hulya | 113 | Farah | Bala Boluk | Dizak Bala |
| 75 | Herat | Kushk Rabat-e Sangi | Shahr Khalil Hulya | 114 | Farah | Bala Boluk | Farah Road |
| 76 | Herat | Kushk Rabat-e Sangi | Tayel Mulki | 115 | Farah | Bala Boluk | Ganj Abad |
| 77 | Herat | Kushk Rabat-e Sangi | Toraghundi | 116 | Farah | Bala Boluk | Granai |
| 78 | Herat | Pashtun Zarghun | Ab Garmi | 117 | Farah | Bala Boluk | Kal Qal'eh |
| 79 | Herat | Pashtun Zarghun | Alakozai Ha | 118 | Farah | Bala Boluk | Kanesk |
| 80 | Herat | Pashtun Zarghun | Ali Bahram | 119 | Farah | Bala Boluk | Kanesk Bala |
| 81 | Herat | Pashtun Zarghun | Amrah-I-Gerd | 120 | Farah | Bala Boluk | Kanesk Payen |
| 82 | Herat | Pashtun Zarghun | Dar Gharaz | 121 | Farah | Bala Boluk | Khowja Khezer |
| 83 | Herat | Pashtun Zarghun | Dasht | 122 | Farah | Bala Boluk | Khowjaha |
| 84 | Herat | Pashtun Zarghun | Dihi Mughulan | 123 | Farah | Bala Boluk | Myan Koo |
| 85 | Herat | Pashtun Zarghun | Hassan Abad | 124 | Farah | Bala Boluk | Now Abad |
| 86 | Herat | Pashtun Zarghun | Kushk Syairwan | 125 | Farah | Bala Boluk | Now Bahar |
| 87 | Herat | Pashtun Zarghun | Kushk-I-Serwan Ghoparda Sufla | 126 | Farah | Bala Boluk | Safarak |
| 88 | Herat | Pashtun Zarghun | Langar | 127 | Farah | Bala Boluk | Shewan |
| 89 | Herat | Pashtun Zarghun | Manzel Mamora | 128 | Farah | Bala Boluk | Shewan Hulya |
| 90 | Herat | Pashtun Zarghun | Mir Abad Sufla | 129 | Farah | Bala Boluk | Tapa Sadat |
| 91 | Herat | Pashtun Zarghun | Mir Abad Ulia | 130 | Farah | Bala Boluk | To Danak Payen |
| 92 | Herat | Pashtun Zarghun | Murcha Ghal | 131 | Farah | Bala Boluk | Zar Mardan |
| 93 | Herat | Pashtun Zarghun | Nahr Nawa | 132 | Farah | Bala Boluk | Ziarat |
| 94 | Herat | Pashtun Zarghun | Rabat Akhond | 133 | Farah | Pusht-e Rod | Barangak |
| 95 | Herat | Pashtun Zarghun | Rabat Gul BiBi | 134 | Farah | Pusht-e Rod | Chapak |
| 96 | Herat | Pashtun Zarghun | Salimi | 135 | Farah | Pusht-e Rod | Chardeh |
| 97 | Herat | Pashtun Zarghun | Sayid Abad | 136 | Farah | Pusht-e Rod | Chen |
| 98 | Herat | Pashtun Zarghun | Seya Gar | 137 | Farah | Pusht-e Rod | Chen Afghani |
| 99 | Herat | Pashtun Zarghun | Shah Abad | 138 | Farah | Pusht-e Rod | Chen Farsee |
| 100 | Herat | Pashtun Zarghun | Taqma | 139 | Farah | Pusht-e Rod | Dokan |
| 101 | Herat | Pashtun Zarghun | To Da | 140 | Farah | Pusht-e Rod | Gajen |
| 102 | Herat | Pashtun Zarghun | Tonian | 141 | Farah | Pusht-e Rod | Gaskin |
| 103 | Herat | Pashtun Zarghun | Tooran | 142 | Farah | Pusht-e Rod | Kababi Bala |
| 104 | Herat | Pashtun Zarghun | Yaka Toot Attar Bashi | 143 | Farah | Pusht-e Rod | Kababi Payen |
| 105 | Herat | Pashtun Zarghun | Zorya | 144 | Farah | Pusht-e Rod | Masow |
| 106 | Farah | Bala Boluk | Alkozai | 145 | Farah | Pusht-e Rod | Qala mola Aman |
| 107 | Farah | Bala Boluk | Amin Abad | 146 | Farah | Pusht-e Rod | Shahr Kohna |
| | | | | 147 | Farah | Pusht-e Rod | Tapa |
| | | | | 148 | Farah | Pusht-e Rod | Tapa Sheran |
| | | | | 149 | Badghis | Qadis | Bad Rawak |
| | | | | 150 | Badghis | Qadis | Bargul |
| | | | | 151 | Badghis | Qadis | Boya |
| | | | | 152 | Badghis | Qadis | Boya Kadanak |
| | | | | 153 | Badghis | Qadis | Chap Roadah |
| | | | | 154 | Badghis | Qadis | Chashma Safid |

| # | Prov | District | Village |
|---|------|----------|---------|
| 155 | Badghis | Qadis | Dara Boom |
| 156 | Badghis | Qadis | Dara Tangak |
| 157 | Badghis | Qadis | Ghaib Ali Dasht |
| 158 | Badghis | Qadis | Gulchin |
| 159 | Badghis | Qadis | Haji Abdoullah |
| 160 | Badghis | Qadis | Jara |
| 161 | Badghis | Qadis | Jari Shorab |
| 162 | Badghis | Qadis | Qarchaqe Ya Zad Paiwand |
| 163 | Badghis | Qadis | Kalbeya |
| 164 | Badghis | Qadis | Keminji Hulya |
| 165 | Badghis | Qadis | Keminji Sufla |
| 166 | Badghis | Qadis | Khair Khana Hulya |
| 167 | Badghis | Qadis | Khair Khana Sufla |
| 168 | Badghis | Qadis | Khaja Ahmad Quli |
| 169 | Badghis | Qadis | Khak Pala |
| 170 | Badghis | Qadis | Khalifa |
| 171 | Badghis | Qadis | Khod Amada |
| 172 | Badghis | Qadis | Langar Sharif |
| 173 | Badghis | Qadis | Mir Ghias |
| 174 | Badghis | Qadis | Naebha |
| 175 | Badghis | Qadis | Naw Abad Zad Saleh |
| 176 | Badghis | Qadis | Omer Baik |
| 177 | Badghis | Qadis | Pay Band Kadanak |
| 178 | Badghis | Qadis | Qadis |
| 179 | Badghis | Qadis | Qadis Khordak |
| 180 | Badghis | Qadis | Qar Chaqe |
| 181 | Badghis | Qadis | Rabat |
| 182 | Badghis | Qadis | Sarkamer Hulya |
| 183 | Badghis | Qadis | Sayidal |
| 184 | Badghis | Qadis | Shah Khak& Pelten |
| 185 | Badghis | Qadis | Shahr Arman |
| 186 | Badghis | Qadis | Sheshmany |
| 187 | Badghis | Qadis | Shotor Morda |
| 188 | Badghis | Qadis | Sultan Ha |
| 189 | Badghis | Qadis | Takak |
| 190 | Badghis | Qadis | Markaz Taht Qadis |
| 191 | Badghis | Qadis | Zad Murad |
| 192 | Badghis | Qadis | Zad Salleh |
| 193 | Badghis | Qadis | Zoriha |
| 194 | Badghis | Muqur | Abla-I-Miranzai |
| 195 | Badghis | Muqur | Andari |

| # | Prov | District | Village |
|---|------|----------|---------|
|  |  |  | Mohammad Omer Khan |
| 196 | Badghis | Muqur | Azizan |
| 197 | Badghis | Muqur | Buz Bai Sufla |
| 198 | Badghis | Muqur | Ferozi |
| 199 | Badghis | Muqur | Kashaniya |
| 200 | Badghis | Muqur | Khalifa Ha |
| 201 | Badghis | Muqur | Khan Doaba |
| 202 | Badghis | Muqur | Miran Zai Zozani |
| 203 | Badghis | Muqur | Mossa Zai |
| 204 | Badghis | Muqur | Muqur Arbab Aziz |
| 205 | Badghis | Muqur | Taraki Hulya |
| 206 | Badghis | Muqur | Qarghach Baikal |
| 207 | Badghis | Muqur | Rabat Kohna Markaz Wolluswali |
| 208 | Badghis | Muqur | Noor Khail Abdul Wahab |
| 209 | Badghis | Muqur | Zargar Ha |
| 210 | Badghis | Muqur | Zat Nasir |

## ANNEX III: DATA QUALITY CONTROL (DQC) FORM

**Data Quality Control – M&E Staff Observation Form**
**Name of Interviewer:** _____
**Name of M&E Staff:** _____

|  | **Day** | **Month** |
|---|---|---|

**Date of Observation**: _____  _____
**Time of Observation (24h clock):** __ __ : __ __   (example – 1 3 : 3 0 for 1:30pm)

**Province**:
**District**:

| 1. Herat | 2. Farah | 3. Badghis |
|---|---|---|
| 1a. Shindand | 2a. Bala Boluk | 3a. Muqur |
| 1b. Kushk Rabat-e Sangi | 2b. Pusht-e Rod | 3b. Qadis |
| 1c. Pashtun Zarghun |  |  |

**Village**: _____  _____  _____

**GPS Coordinates:** __ __._____°N  __ __._____°E  *(from Track Stick: input later from office)*

**Instructions**

*This form is for you, the M&E representative, to ensure the accuracy of survey data collected. Do not participate in the interview. Observe <u>only</u> and note your observations below and (if you need more space) on the back of this form. Check that the info at the top of this form (date, time, location, etc.) matches what is on the official questionnaire. However, take independent GPS coordinate measurements and photographs using the Track Stick. If the respondent does not want to be photographed, please take a photograph of the interviewer in the village.*

**Complete during interview**

1. How was respondent selected by the interviewer (within the village and within the household)?

2. Did the interviewer get approval from the respondent to continue before asking questions?
    a. Yes          b. No

3. Once a question was asked, did the interviewer do any of the following? *(check all that apply)*
    ☐ Offer clarification or more explanation of the question
    ☐ Verbally give a full answer (more than just an example or a clarification) before the respondent had a chance to reply
    ☐ Encourage the respondent to answer questions one way or another (i.e. choose one answer over another)
    ☐ The interviewer generally waited for the respondent to respond before speaking

*During the interview, write down the answers to some questions (especially open-ended questions where the interviewee is meant to talk openly) on the back of this paper. After the interview, compare the interviewer's notes to those you made.*

4. Are the answers you wrote down the same (or very similar) to the ones written on the questionnaire?
    a. Yes          b. No
    <u>If 'No'</u> – what was the difference between your answers?

**Complete after interview**

5. Were all questions asked in the correct order?
    a. Yes          b. No

6. How respectful was the interviewer towards the respondent and family?
    a. Very respectful          c. Not very respectful
    b. Somewhat respectful      d. Not respectful at all (Disrespectful)

7. What are your general observations after witnessing the interview?

8. Do you have any recommendations or feedback for the interviewer or his/her supervisor?

## ANNEX IV: VILLAGES SELECTED FOR DATA QUALITY CONTROL (DQC)

| # | Province | District | Village |
|---|---|---|---|
| 2 | Herat | Shindand | Changan |
| 8 | Herat | Shindand | Emarat Wosta |
| 11 | Herat | Shindand | Joye Soor |
| 13 | Herat | Shindand | Kal Kaftar |
| 14 | Herat | Shindand | Karaiz Zanjer |
| 19 | Herat | Shindand | Koshk |
| 26 | Herat | Shindand | Now Abad Balashar |
| 28 | Herat | Shindand | Now Abad Joy Ghazi |
| 30 | Herat | Shindand | Now Abad Zawol |
| 32 | Herat | Shindand | Poshte Shahr |
| 36 | Herat | Shindand | Qasaba |
| 37 | Herat | Shindand | Rabat Now |
| 44 | Herat | Shindand | Taraz |
| 48 | Herat | Shindand | Zerkoh |
| 51 | Herat | Kushk Rabat-e Sangi | Allaf Haji Abdel |
| 53 | Herat | Kushk Rabat-e Sangi | Bar Jang Star Bai |
| 55 | Herat | Kushk Rabat-e Sangi | Chahar Dara |
| 64 | Herat | Kushk Rabat-e Sangi | Joye Toor Ghundi Sofla |
| 73 | Herat | Kushk Rabat-e Sangi | Mohammad Nazari |
| 76 | Herat | Kushk Rabat-e Sangi | Tayel Mulki |
| 80 | Herat | Pashtun Zarghun | Ali Bahram |
| 88 | Herat | Pashtun Zarghun | Langar |
| 93 | Herat | Pashtun Zarghun | Nahr Nawa |
| 97 | Herat | Pashtun Zarghun | Sayid Abad |
| 101 | Herat | Pashtun Zarghun | To Da |
| 104 | Herat | Pashtun Zarghun | Yaka Toot Attar Bashi |
| 106 | Farah | Bala Boluk | Alkozai |
| 108 | Farah | Bala Boluk | Azaw |
| 109 | Farah | Bala Boluk | Bakhsh Abad |
| 110 | Farah | Bala Boluk | Bala Buluk |
| 111 | Farah | Bala Boluk | Bar Zoo |
| 119 | Farah | Bala Boluk | Kanesk Bala |
| 123 | Farah | Bala Boluk | Myan Koo |
| 125 | Farah | Bala Boluk | Now Bahar |

| # | Province | District | Village |
|---|---|---|---|
| 128 | Farah | Bala Boluk | Shewan Hulya |
| 131 | Farah | Bala Boluk | Zar Mardan |
| 137 | Farah | Pusht-e Rod | Chen Afghani |
| 139 | Farah | Pusht-e Rod | Dokan |
| 141 | Farah | Pusht-e Rod | Gaskin |
| 145 | Farah | Pusht-e Rod | Qala mola Aman |
| 152 | Badghis | Qadis | Boya Kadanak |
| 154 | Badghis | Qadis | Chashma Safid |
| 157 | Badghis | Qadis | Ghaib Ali Dasht |
| 160 | Badghis | Qadis | Jara |
| 164 | Badghis | Qadis | Keminji Hulya |
| 172 | Badghis | Qadis | Langar Sharif |
| 177 | Badghis | Qadis | Pay Band Kadanak |
| 181 | Badghis | Qadis | Rabat |
| 186 | Badghis | Qadis | Sheshmany |
| 190 | Badghis | Qadis | Markaz Taht Qadis |
| 198 | Badghis | Muqur | Ferozi |
| 202 | Badghis | Muqur | Miran Zai Zozani |
| 204 | Badghis | Muqur | Muqur Arbab Aziz |
| 208 | Badghis | Muqur | Noor Khail Abdul Wahab |

## ANNEX V: PMP BASELINE VALUES

| # | STAB-U Indicator | F-Indicator | Indicator | Strategic/ Program | LEVEL (Output/ Outcome/ Impact) | Target Year 1 | Target Year2 | Target Year 3 |
|---|---|---|---|---|---|---|---|---|
| **SIKA West Strategic Objective: Afghans have increased confidence in their District level government, leading to the expansion of GIRoA provincial authority and legitimacy** | | | | | | | | |
| **Program Objective: To assist GIRoA officials at the district and provincial levels to respond to the population's development and governance concerns to better instill confidence and build stability.** | | | | | | | | |
| 2 | | | Percent increase in the number of district residents who report increased confidence in their district level government | Stability Indicator | Impact | NA | NA | NA |
| | | Baseline #2 | (Percent of respondents who report confidence in their district government) | 56.4% (1,591 of 2,819) | | | | |
| 3 | | | Percent increase in number of district residents who report increased confidence in their district council | Stability Indicator | Impact | NA | NA | NA |
| | | Baseline #3 | (Percent of respondents who report confidence in their district council) | 71.8% (2,024 of 2,819) | | | | |
| 4 | 7a | | Percent increase of district residents reporting their district has become more stable | Stab-U Indicator | Impact | NA | NA | NA |
| | | Baseline #15 | (Percent of respondents reporting their district is stable) | 57.3% (1,616 of 2,819) | | | | |
| 5.A | | | Number of SIKA districts demonstrating improvement on the stability trend. Condition A: The Afghan people feel safe enough to go about their daily lives. | Stability Indicator | Impact | NA | NA | NA |
| | | Baseline #16 | (Number of districts—out of 7 surveyed—where a majority of respondents reported feeling safe enough to go about their daily lives) | 3 out of 7 (Kusk Rabat-e Sangi, Pashtun Zarghun, Qadis) | | | | |
| 5.B | | | Number of SIKA districts demonstrating improvement on the stability trend. Condition B: The Afghan people are able to plan for their future. | Stability Indicator | Impact | NA | NA | NA |
| | | Baseline #20 | (Number of districts—out of 7 surveyed—where a majority of respondents reported being able to plan something for their future) | 6 out of 7 (Shindand, Kusk Rabat-e Sangi, Bala Boluk, Pusht-e Rod, Qadis, Muqur) | | | | |
| 5.C | | | Number of SIKA districts demonstrating improvement on the stability trend. Condition C: The Government (provincial and district level) is accountable, responsible | Stability Indicator | Impact | NA | NA | NA |

| # | STAB-U Indicator | F-Indicator | Indicator | Strategic/ Program | LEVEL (Output/ Outcome/ Impact) | Target Year 1 | Target Year2 | Target Year 3 |
|---|---|---|---|---|---|---|---|---|
| | | | and functional. | | | | | |
| | Baseline #10/11 | | (Number of districts—out of 7 surveyed—where a majority of respondents felt the government (provincial and district level) was accountable, responsible and functional) | | 4 out of 7 (provincial-level) (Kusk Rabat-e Sangi, Pusht-e Rod, Qadis, Muqur) 4 out of 7 (district-level) (Kusk Rabat-e Sangi, Pusht-e Rod, Qadis, Muqur) | | | |
| 5.D | | | Number of SIKA districts demonstrating improvement on the stability trend. Condition D: ANSF has control of force and is able to enforce security. | Stability Indicator | Impact | NA | NA | NA |
| | Baseline #17 | | (Number of districts—out of 7 surveyed—where a majority of respondents reported that the ANSF had control of force and was able to enforce security) | | 4 out of 7 (Kusk Rabat-e Sangi, Pusht-e Rod, Qadis, Muqur) | | | |
| 5.E | | | Number of SIKA districts demonstrating on improvement on the stability trend. Condition E: Rule of Law and civil court systems are recognized by the population and perceived as functioning. | Stability Indicator | Impact | NA | NA | NA |
| | Baseline #21/22 | | (Number of districts—out of 7 surveyed—where a majority of respondents reported confidence in the civil court systems) | | 0 out of 7 | | | |

**IR1:** Provincial and district entities increasingly address sources of instability and take measures to respond to the population's development and governance concerns

**IR2:** Provincial and District Entities understand what organizations and provincial line departments work within their geographic areas, what kind of services they provide, and how the population can access those services

| # | STAB-U Indicator | F-Indicator | Indicator | Strategic/ Program | LEVEL | Target Year 1 | Target Year2 | Target Year 3 |
|---|---|---|---|---|---|---|---|---|
| 2.4 | | 1.6.1-13 | Number of people who received information provided by District Entities about services listed in the SPC via visits, radio, TV, e-mail, and letter | F/Program Indicator | Outcome | 26,400 | TBD | TBD |
| | Baseline #12 | | (Number/percent of respondents reporting having received information about services) | | 2,368 / 84.0% | | | |

**IR3:** Provincial authorities improve their ability to communicate with district entities in order to help them better understand their population's needs and prioritize basic service delivery interventions.

| # | STAB-U Indicator | F-Indicator | Indicator | Strategic/ Program | LEVEL | Target Year 1 | Target Year2 | Target Year 3 |
|---|---|---|---|---|---|---|---|---|
| 3.2 | 7.2a | | Percent increase in the district residents reporting that District Entities listen to their grievances | Stab-U/Program Indicator | Outcome | 15% | TBD | TBD |
| | Baseline #11 | | (Percent of respondents reporting that district entities are accountable to them and listen to their grievances) | | 50.2% (1,415 of 2,819) | | | |

| # | STAB-U Indicator | F-Indicator | Indicator | Strategic/ Program | LEVEL (Output/ Outcome/ Impact) | Target Year 1 | Target Year2 | Target Year 3 |
|---|---|---|---|---|---|---|---|---|
| IR4: Provincial authorities are able to improve basic service delivery by using GIRoA, CDCs, DDAs and ASOP DCCs, which gain capacity to plan, design, implement and monitor projects, with a focus on labor-intensive projects or productive infrastructure. | | | | | | | | |
| 4.2 | 7.2.2a | | Percentage of population in targeted districts reporting increased satisfaction with GIRoA basic services. | Stab-U/Program Indicator | Outcome | 15% | TBD | TBD |
| Baseline #13 | | | (Percent of respondents reporting having received and satisfaction with GIRoA basic services) | 44.7% (643 of 1,437) | | | | |
| 4.3 | | | Percent increase of district residents reporting basic services in target districts are delivered in a fair and transparent manner. | Program Indicator | Outcome | 25% | TBD | TBD |
| Baseline #14 | | | (Percent of respondents reporting basic services are delivered in a fair and transparent manner) | 49.6% (1,398 of 2,819) | | | | |